

#3/UB  
5/17/2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

COPY OF PAPERS  
ORIGINALLY FILED

Patent application of: Alivisatos, A. Paul; Rockenberger, Joerg;

Serial Number: Unassigned

Group Art Unit: 1765

Filing Date: November 21, 2000

for : A PROCESS FOR MAKING SURFACTANT CAPPED NANOCRYSTALS

Assistant Commissioner for Patents  
Washington, D.C. 20231

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
WITHIN THREE MONTHS OF FILING OR  
BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. section 1.97(b))

IDENTIFICATION OF TIME OF FILING THE ACCOMPANYING  
INFORMATION DISCLOSURE STATEMENT

The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 C.F.R. section 1.97(b).

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. section 1.8(a))

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Date: 23 Feb 2001

FACSIMILE

☐ transmitted by facsimile to the Patent and Trademark Office.

Signature

Charles R. Nold  
Patent Attorney

(type or print name of person certifying)

RECEIVED  
MAY 08 2002  
TC 1700

C R Nold 23 Feb 2001

Charles R. Nold  
Registration No. 46470  
Lawrence Berkeley National Laboratory  
One Cyclotron Road, MS 90-1121  
Berkeley, CA 94720  
510-486-6503  
Customer No. 008076

Practitioner's Docket No. IB-1576A

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Alivisatos, A. Paul; Rockenberger, Joerg

Application No.: 09/721,126

Group No.: 1754

Filed: 11/22/2000

Examiner: Bos, S.

For: Proces for making surfactant capped metal oxide nanocrystals, and products produced by the process

Assistant Commissioner for Patents  
Washington, D.C. 20231

COPY OF PAPERS  
ORIGINALLY FILED

REQUEST FOR CORRECTED FILING RECEIPT

1. Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.
2. There are errors with respect to the following, some of which are incorrectly entered and some of which are omitted.
3. A request was filed on 4/16/02. That request inadvertently had the U.S. Serial Number for the parent case on the transmittal form. Therefore, another request is hereby being filed.

**CERTIFICATION UNDER 37 C.F.R. § 1.8(a) and 1.10\***  
(When using Express Mail, the Express Mail label number is mandatory;  
Express Mail certification is optional)

I hereby certify that, on the date shown below, this correspondence is being:

- MAILING**
- ☐ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner of Patents, Washington D.C. 20231  
37 CFR 1.8a
- ☒ with sufficient postage as first class mail.
- ☐ as "Express Mail Post Office to Addressee" Mailing Label  
37 CFR 1.10  
No. \_\_\_\_\_
- TRANSMISSION**
- ☐ facsimile transmitted to the Patent and Trademark Office, 703 \_\_\_\_\_

Date: 7/26/02

Signature

Charles R. Nield  
Type or print name of person certifying

\* Only the date of filing (§ 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under § 1.8 continues to be taken into account in determining timeliness. See § 1.703(f). Consider "Express Mail Post Office to Addressee" (§ 1.10) or facsimile transmission (§ 1.6(d)) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.

*Error in*

*Correct data*

1. Applicant's name

1. Alivisatos, A. Paul

2. Applicant's name

2 Joerg Rockenberger

3. The corrections are not due to any error by applicant and no fee is due.

Date: 4/26/02

C R Nold

Charles R. Nold  
Lawrence Berkeley National Laboratory  
One Cyclotron Road  
MS 90B  
Berkeley, CA 94720



COPY OF PARENT  
ORIGINALLY FILED

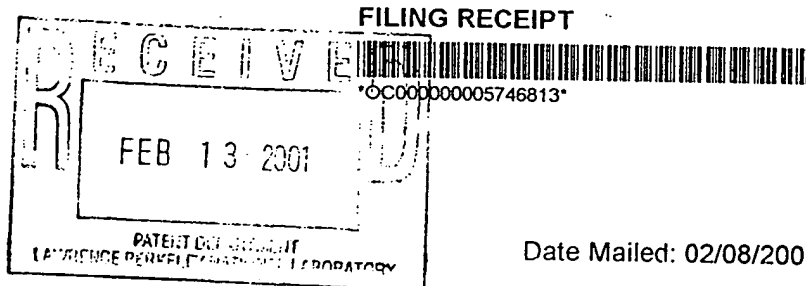
Page 1 of 3 *HM*  
*IB-1576-CIP*

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/721,126	11/22/2000	1754	435	IB-1576- C.I.P.	9	16	5

~~Patent Counsel~~ Charles R. Nold  
Lawrence Berkeley National Laboratory  
One Cyclotron Road  
MS 90-1121  
Berkeley, CA 94720



Date Mailed: 02/08/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

~~Paul R. Martin, Berkeley, CA;~~

*A. Paul Alivisatos, Berkeley, CA*

*Joerg Joerg Rockenberger, Berkeley, CA*

**Continuing Data as Claimed by Applicant**

THIS APPLN CLAIMS BENEFIT OF 60/162,299 10/28/1999

*This Appln is a CIP of 09/702,219; filed 10/30/00; now allowed.*

**Foreign Applications**

**\*\* SMALL ENTITY \*\***

**Title**

Process for making surfactant capped metal oxide nanocrystals, and products produced by the process

**Preliminary Class**

423

Data entry by : DILLON, LAWANDA

Team : OIPE

Date: 02/08/2001



08076

PATENT TRADEMARK OFFICE

Please type a plus sign (+) inside this box → ☒

Approved for use through 09/30/2000. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL  
FORM

(to be used for all correspondence after initial filing)

Application Number

Unassigned

Filing Date

November 21, 2000

First Named Inventor

A. Paul Alivisatos

Group Art Unit

1765

Examiner Name

Unassigned

Total Number of Pages in This Submission  
in References

19

Attorney Docket Number

IB-1576CIP

## ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment / Response
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☒ Response to Missing Parts/  
Incomplete Application
- ☐ Response to Missing  
Parts under 37 CFR  
1.52 or 1.53

- ☒ Assignment Papers  
(for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition Routing Slip (PTO/SB/69)  
and Accompanying Petition
- ☐ Petition to Convert to a  
Provisional Application
- ☒ Power of Attorney, Revocation  
Change of Correspondence  
Address
- ☐ Terminal Disclaimer
- ☐ Small Entity Statement
- ☐ Request for Refund

- ☐ After Allowance Communication  
to Group
- ☐ Appeal Communication to Board  
of Appeals and Interferences
- ☐ Appeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Additional Enclosure(s)  
(please identify below):

Remarks

- Additional Enclosures: 1. Return Receipt Postcard
2. Statement under 37 C.F.R. 3.73(b) establishing Assignee right
3. Declaration 37 C.F.R. 1.63, signed by inventors
4. Statement that applic. filed is the one inventor executed by signing  
the Declaration
5. 16 References cited on enclosed IDS; 6. IDS transmittal form

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm  
or  
Individual name

Charles R. Nold; Lawrence Berkeley National Laboratory

Signature

C R Nold

Date

23 Feb 2001

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 02/23/2001

Typed or printed name

Charles R. Nold

Signature

C R Nold

Date

23 Feb 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



08076

PATENT TRADEMARK OFFICE

O/SB/21 (6-98)  
MB 0651-0031  
IF COMMERCE  
ess it displays aPlease type a plus sign (+) inside this box → ☐Under the Paperwork Reduction Act of 1995, no per:  
valid OMB control number.

+

TRANSMITTAL  
FORM

(to be used for all correspondence after initial filing)

Application Number	09/721,126
Filing Date	November 21, 2000
First Named Inventor	A. Paul Alivisatos
Group Art Unit	1754
Examiner Name	Bos, S.
Total Number of Pages in This Submission	24
Attorney Docket Number	IB-1576A

## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) <div style="border: 1px solid black; padding: 5px; text-align: center;">RECEIVED MAY 08 2002 TC 1/00</div>
Remarks		Additional Enclosures: 1. Transmittal Form, 2. copy of original return receipt postcard 3. copy of original transmittal form filed 2/23/01 4. Statement under 37 C.F.R. 3.73(b) establishing Assignee right 4. Declaration under 37 C.F.R. 1.63, signed by inventors 5. Statement that applic. filed is the one inventor executed by signing the Declaration

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Charles R. Nold; Lawrence Berkeley National Laboratory
Signature	CR Nold
Date	4/26/02

COPY OF PAPERS  
ORIGINALLY FILED

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 04/26/2002	
Typed or printed name	Charles R. Nold
Signature	CR Nold
Date	4/26/02

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



08076

PATENT TRADEMARK OFFICE

Receipt

Please type a plus sign (+) inside this box → ☒

PTO/SB/21 (6-98)

0/2000. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	<b>Application Number</b>	09/721,126
	<b>Filing Date</b>	November 21, 2000
	<b>First Named Inventor</b>	A. Paul Alivisatos
	<b>Group Art Unit</b>	1754
	<b>Examiner Name</b>	Bos, S.
<b>Total Number of Pages in This Submission</b>	4	<b>Attorney Docket Number</b> IB-1576A

**ENCLOSURES (check all that apply)**

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<b>Remarks</b> Additional Enclosures: 1. Request for Corrected filing receipt letter 2. marked up copy of original filing receipt		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

<b>Firm or Individual name</b>	Charles R. Nold; Lawrence Berkeley National Laboratory
<b>Signature</b>	<i>CA Nold</i>
<b>Date</b>	4/16/02

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 04/26/2002			
<b>Typed or printed name</b>	Charles R. Nold		
<b>Signature</b>	<i>CA Nold</i>	<b>Date</b>	4/16/02

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.





08076

PATENT TRADEMARK OFFICE

PATENT

Practitioner's Docket No. IB-1576CIP

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

The application of: Alivisatos, A. Paul; Rockenberger, Joerg

Application No.: Unassigned

Group No.: 1765

Filed: November 21, 2000

Examiner: Unassigned

For: A PROCESS FOR MAKING SURFACTANT CAPPED NANOCRYSTALS

Box Missing Part

Assistant Commissioner for Patents

Washington, D.C. 20231

COPY OF PAPERS  
ORIGINALLY FILEDCOMPLETION OF FILING REQUIREMENTS  
-- NONPROVISIONAL APPLICATION

I. This mailing is intended to complete filing requirements. As of the mailing date of this letter no notice of missing parts has been received.

## DECLARATION OR OATH

II. No declaration or oath was filed. Enclosed is the original declaration or oath for this application.

## SMALL ENTITY STATUS

III. A statement that this filing is by a small entity was filed on October 30, 2000 (original).

RECEIVED  
MAY 08 2002  
TC 1/00

## CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. SECTION 1.8(a))

I hereby certify that this correspondence is, on the date shown below, being:

## MAILING

☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

## FACSIMILE

☐ transmitted by facsimile to the Patent and Trademark Office at (703) \_\_\_\_ - \_\_\_\_.

Date: 231<sup>st</sup> b 2001

Signature

Charles R. Nold  
Patent Attorney

(type or print name of person certifying)

### COMPLETION FEES

#### IV.

1. Assignment (See "ASSIGNMENT COVER SHEET")	\$40.00
Total Completion Fees	\$40.00

### EXTENSION OF TIME

V. The proceedings herein are for a patent application, and the provisions of 37 C.F.R. Section 1.136(a) apply.

Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.

### TOTAL FEE DUE

VI. The total fee due is:

Completion fees	\$40.00
Extension fee (if any)	\$0.00
Total Fee Due	\$40.00

### PAYMENT OF FEES

VII. Charge Account No. 120690 in the amount of 40.00.

A duplicate of this request is attached.

Please charge Account No. 120690 for any fees that may be due by this paper.

### AUTHORIZATION TO CHARGE ADDITIONAL FEES

VIII. The Commissioner is hereby authorized to charge the following additional fees that may be required by this paper and during the pendency of this application to Account No. 120690.

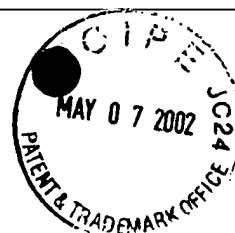
37 C.F.R. Section 1.16(e) ( declaration on a date later than the filing date of the application)

Date: 2-3 Feb 2001

C. R. Nold

Charles R. Nold  
Registration No. 46,470  
Lawrence Bekeley National Laboratory  
One Cyclotron Road, MS 90-1121  
Berkeley, CA 94720  
510-486 6503  
Customer No. 008076

Practitioner's Docket No. IB-1576CIP



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: A. Paul Alivisatos et al.

Application No.: Unassigned

Group No.: 1765

Filed: November 21, 1000

Examiner: Unassigned

For: A PROCESS FOR MAKING SURFACTANT CAPPED NANOCRYSTALS

Assistant Commissioner for Patents

Washington, D.C. 20231

STATEMENT BY PRACTITIONER THAT APPLICATION FILED IN PTO  
IS THE ONE INVENTOR EXECUTED BY SIGNING DECLARATION

COPY OF PAPERS  
ORIGINALLY FILED

RECEIVED  
MAY 08 2002  
TC 1/00

CAN  
2/25/01

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. section 1.8a)

I hereby certify that this correspondence is, on the date shown below, being:

MAILING

FACSIMILE

☒ deposited with the United States Postal Service  
with sufficient postage as first class mail in an  
envelope addressed to the Assistant  
Commissioner for Patents, Washington, D.C.  
20231.

☐ transmitted by facsimile to the Patent and  
Trademark Office.

Signature

*Charles R. Nold*

Charles R. Nold  
Patent Attorney

Date: 23 Feb 2001

(type or print name of person certifying)

(Statement by Practitioner That Application Filed in PTO Is the One Inventor Executed by Signing Declaration--page 1 of 2)

I,

Charles R. Nold  
One Cyclotron Road, MS 90-1121  
Berkeley, CA 94720  
Reg. No. 46,470  
Tel. No. 510-486-6503

state I am the registered practitioner for this application and the application identified above is the application that the inventor(s) executed by signing the declaration that is being submitted herewith.



SIGNATURE OF PRACTITIONER

Customer No.: 008076

Charles R. Nold  
Patent Attorney

Copy of Rexon  
Receipt  
postcard  
filed 2/23/01



COPY OF PAPERS  
ORIGINALLY FILED

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IB-1576CIP

APPLICANT(S):

A. Paul Alivasatos et al.

FOR:

A METHOD OF MAKING SURFACTANT CAPPEI  
NANOCRYSTALS

Serial No.

Unassigned

Filing Date:

November 21, 2000

IN RECEIPT OF:

1. Transmittal Form; 2. Statement under 37 CFR 3.73(b)(2 pages); 3. Power of Attorney (2 pages); 4. Completion of Filing Requirements (3 pages); 5. Recordation Form Cover Sheet (1 page); 6. Assignment of Patent application (1 page); 7. Statement by Practitioner that applic. F in PTO is one inventor executed Dec on. (2 pages); 8. Declaration for Utility patent application 37 CFR 1.63 (3 pages); 9. IDS transmittal form, statement under CFR 1.97(b); (2 pages), 10. PTO Form 1449; 11. 16 references, 12. self addressed, stamped return receipt card.  
DATED: 2/23/01

RECEIVED  
MAY 08 2002  
TC 1100